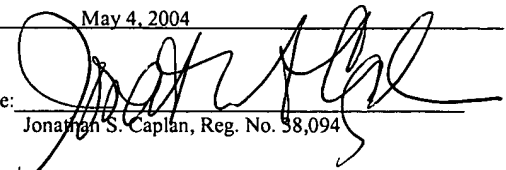


COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on:

Date: May 4, 2004

Signature: 
Jonathan S. Caplan, Reg. No. 38,094

Sir:

Transmitted herewith for filing is a Preliminary Amendment.

Entitled: System and Method for Creating a Cost-Effective and Efficient Retail Electric Power Exchange/Energy Service Provider Load Optimization Exchange and Network Therefor
Applicant: Carl Robert Aron et al.
Serial No.: 10/669,518
Filed: September 24, 2003

Enclosed are:

- ☐ ___ sheets of specification, including ___ sheets of claims and ___ sheet of Abstract.
☐ Applicant hereby claims small entity status under 37 C.F.R. §§ 1.9 and 1.27
☐ Information Disclosure Statement, PTO Form 1449
☐ Executed Inventors Declaration And Power of Attorney, Substitute Power Of Attorney from parent application and Attorney Change of Address and Power of Attorney.
☒ Preliminary Amendment.

The filing fee has been calculated as shown below:

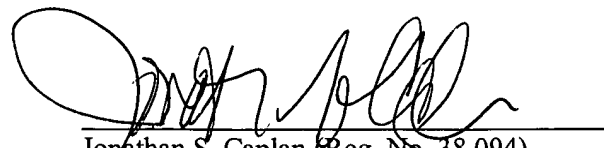
	(Col. 1)	(Col. 2)		SMALL	ENTITY		OTHER THAN A SMALL ENTITY
FOR:	NO. FILED	NO. EXTRA		RATE	FEE		RATE FEE
BASIC FEE		*		x	\$	OR	\$
TOTAL CLAIMS	80-20	60		x 9	\$540	OR	x 18 \$
INDEP CLAIMS	15-3	12		x 43	\$516	OR	x 86 \$
MULTIPLE DEPENDENT CLAIM PRESENTED				x 145	\$	OR	x 290 \$
* If the difference in Col. 1 is less than zero, enter "0" in Col. 2				TOTAL	\$1056	OR	TOTAL \$

☒ The Director is hereby authorized to charge payment of **\$1056.00** associated with this communication or credit any overpayment to Deposit Account No. **50-0540**. A duplicate copy of this sheet is enclosed.

☒ Address all future communications to: **CUSTOMER NO. 31013**

Respectfully submitted,

Date: May 4, 2004


Jonathan S. Caplan (Reg. No. 38,094)
Kramer Levin Naftalis & Frankel LLP
919 THIRD AVENUE
NEW YORK, N.Y. 10022
(212) 715-9488

CUSTOMER NO.: 31013

PATENT
104841-00002



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Carl Robert Aron et al.
Serial No. : 10/669,518
Filed : September 24, 2003
For : SYSTEM AND METHOD FOR CREATING A COST-EFFECTIVE AND EFFICIENT RETAIL ELECTRIC POWER EXCHANGE/ENERGY SERVICE PROVIDER LOAD OPTIMIZATION EXCHANGE AND NETWORK THEREFOR

919 Third Avenue
New York, New York 10022

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22315-1450

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on:

Date: May 4, 2004

Signature: 
Jonathan S. Caplan, Reg. No. 38,004

PRELIMINARY AMENDMENT

Sir:

Prior to examination, please enter this Preliminary Amendment.

Amendments to the specification begins at page 2.

Amendments to the claims begin at page 7.

Remarks begin at page 26.

05/07/2004 HTECKLU1 00000040 500540 10669518

01 FC:2202 540.00 DA
02 FC:2201 516.00 DA